



致：華亞證券有限公司（「華亞證券」）（證監會中央編號：ARK249）

香港上環德輔道中199號無限極廣場21樓2101室

To：QMIS Securities Limited（「QMIS Securities」）（SFC CE Number：ARK249）

Unit 2101, 21/F, Infinitus Plaza, 199 Des Voeux Road Central, Sheung Wan, Hong Kong

請按下述「投資產品交收指示」，並通過「中央交收及結算系統」辦理有關投資產品存取手續：

Please input this "Investment Products Settlement Instruction" (SI / ISI) into the "Central Clearing and Settlement System" (CCASS) to effect Settlement of Investment Products with details as follows：

#### 證券交易帳戶資料 Details of Securities Trading Account

帳戶號碼：

Account Number：\_\_\_\_\_

客戶名稱：

Client Name：\_\_\_\_\_

帳戶類別：

☐ 證券現金帳戶

日間聯絡電話號碼：

Account Type：☐ Cash Securities Account

Daytime Contact Number：(\_\_\_\_\_)\_\_\_\_\_

#### 交收指示 Settlement Instruction

申請日期：

Application Date：\_\_\_\_\_

要求交收日期：

Requested Settlement Date：\_\_\_\_\_

交收指示 Settlement Type：

☐ 證券交收指示 SI

☐ 投資者交收指示 ISI

指示類別 Instruction Type：

☐ 存入證券 Receipt of Securities (RS)

☐ 提取證券 Delivery of Securities (DS)

對手方資料：

Counterparty Information：

參與者編號 Participant (CCASS) ID：

公司名稱 Company Name：

聯絡人名稱 Contact Person：

聯絡人電話號碼 Contact Number：

#### 收款 / 付款指示 Payment Instruction

若客戶並沒從右方作出任何選項，華亞證券將以「無需付款交收」執行有關交易。  
"No Payment Settlement" will be default payment instruction if neither choice in the right box is selected.

「交收指示」中所產生之相關費用，華亞證券將於客戶證券交易帳戶內扣除。

The relevant charges incurred in the "Settlement Instruction" will be deducted from QMIS Securities in the Client's Securities trading account.

(可使用 ☒ 選擇其中一項)

(Use ☒ to choose ONLY one option)

☐ 無需付款交收

No Payment Settlement

☐ 貨銀對付交收

Delivery / Receipt VS Payment

☐ 即時貨銀對付

Real Time Delivery / Receipt VS Payment

證券編號 Stock Code	證券名稱 Stock Name	股份數量 Quantity	交收金額 (港幣) Amount (HKD)	收費 (港幣) Charge (HKD)
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____

本人/(吾等) 特此確認，上述證券之「實益擁有權」並未因進行是次交收而出現變動，本人/(吾等) 亦承認就本人/(吾等) 交收可能引致華亞證券蒙受或承擔任何費用及開支，並向華亞證券作出全數彌償。

I/(We) hereby confirm there is No Change of "Beneficial Ownership" through effecting this "Settlement Instruction". I/(We) also undertake to indemnify and keep QMIS Securities indemnified in respect of any cost and expense, whatsoever which may suffer or incur by QMIS Securities in connection with this "Settlement Instruction".

若客戶有任何查詢，請致電華亞證券客戶服務專線 (852) 3971 6988 內地客戶免費專線 4001 206 046 與客戶服務主任聯絡。

For any further assistance, please contact our Customer Service Officer at QMIS Securities Hotline at (852) 3971 6988 /

Mainland Toll-Free : 4001 206 046.

戶口持有人簽署 Account Holder Signature :

聯名戶口持有人簽署 Joint Account Holder Signature :

日期 Date : \_\_\_\_\_

日期 Date : \_\_\_\_\_

### 填寫指引 Filling Practices

若客戶欲透過電子結算系統將其它「券商行或銀行」之證券或投資產品存放至客戶於華亞證券有限公司（「華亞證券」）開立之證券交易帳戶，或從該客戶於華亞證券之證券交易帳戶內調撥證券或投資產品至其它「券商行或銀行」，客戶必須依照以下程序辦理有關手續：

If the Client wishes to deposit Securities or Investment Products of other "Outside Brokerage Firm(s) or Bank(s)" through the e-Settlement System into the Securities trading account opened by the Client at QMIS Securities Limited ("QMIS Securities") or transfer Securities or Investment Products from the Client's Securities trading account in QMIS Securities to other "Outside Brokerage Firms or Bank(s)", the Client shall apply for the following steps to handle the relevant procedures :

**步驟 1：** 完成填寫華亞證券「投資產品交收指示」

**STEP 1:** Complete QMIS Securities' "Investment Products Settlement Instruction"

**步驟 2：** 確保所有帳戶持有人簽署「投資產品交收指示」

**STEP 2:** Ensure that all account holders sign the "Investment Product Settlement Instruction"

**步驟 3：** 將完成填寫及簽署之交收指示傳真或電郵至華亞證券「客戶服務部」收

**STEP 3:** 傳真號碼：(852) 3971 6989

電郵地址：cs@qmis.com.hk

Facsimile OR E-mail the duly completed and signed instruction form to QMIS Securities' "Customer Service"

Facsimile Number : (852) 3971 6989

E-Mail Address : cs@qmis.com.hk

**步驟 4：** 客戶必須通知及聯絡其交易之「券商行或銀行」，有關「存放」或「提取」交收證券或投資產品之安排，華亞證券處理「證

**STEP 4:** 券交收」詳細資料如下：

Notify and contact the "Outside Brokerage Firm(s) or Bank(s)" of the intended Securities Transfer "TO" / "FROM" QMIS Securities. Details of "Settlement Instruction" for the transfer is :

香港及深滬股證券予託管商名稱：

香港中央結算有限公司

Hong Kong, Shenzhen & Shanghai Securities Custodian Name : HKSCC

中央結算系統編號：

CCASS Participant ID :

參與者名稱：

Participant Name :

## 存入證券 / 投資產品注意事項 Securities / Investment Product Deposit Attention

1. 若客戶需要安排證券從多間「券商行或銀行」帳戶轉至華亞證券，客戶需要為每間「券商行或銀行」帳戶填寫一份獨立之「投資產品交收指示」。

If the Client needs to arrange for the transfer of Securities from multiple "Outside Brokerage Firms or Banks" accounts to QMIS Securities, the Client is required to fill in a separate "Investment Products Settlement Instruction" for each "Outside Brokerage Firm or Bank" account.

2. 原有「券商行或銀行」之帳戶登記持有人名稱與客戶在華亞證券之帳戶登記持有人名稱必須完全相同。

The Client's account holder name with the "Outside Brokerage Firms or Banks" and under QMIS Securities **MUST BE Identical**.

3. 若客戶能於當天交易日上午 11:00 前送達「投資產品交收指示」，華亞證券會安排即日進行處理；若於上午 11:00 後送達的「投資產品交收指示」通知將被撥入下一個交易日處理。

If the Client can deliver the "Investment Product Settlement Instruction" before 11:00 a.m. on the Trading Day of the same day, QMIS Securities will arrange for the same-day processing; otherwise this "Investment Products Settlement Instruction" delivers after 12:00 a.m. will be processed on the next Trading Day.

4. 當「投資產品交收指示」轉戶手續完成，華亞證券會盡快將其存入客戶的證券交易帳戶內。

When the "Investment Product Settlement Instruction" transfer process is completed, QMIS Securities will deposit it into the Client's Securities trading account as soon as possible.

5. 客戶只能於華亞證券完成「投資產品交收指示」轉戶手續後，才可以賣出有關證券。

The Client may only sell the Securities after the Securities has been reflected in the Client's Securities trading account.

## 公司專用 For Office Use Only

Signature Verified By :

Funding Availability Verified By :

Executed By :

Recorded By :